

09/23/99  
JC447 U.S. PTO

Please type a plus sign (+) inside this box →

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 1 P11Y IR

First Inventor or Application Identifier Kenneth L. Levy

Title Method & Apparatus For Embedding Auxiliary Information Within Original Data

Express Mail Label No. EM 441817625 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Specification [Total Pages 42]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3.  Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
4. Oath or Declaration [Total Pages       ]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

Assistant Commissioner for Patents  
ADDRESS TO: Box Patent Application  
Washington, DC 20231

5.  Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Copy
  - b.  Paper Copy (identical to computer copy)
  - c.  Statement verifying identity of above copy

## ACCOMPANYING APPLICATION PARTS

7.  Assignment Papers (cover sheet & document(s))
8.  37 C.F.R. § 3.73(b) Statement  Power of  
(when there is an assignee)  Attorney
9.  English Translation Document (if applicable)
10.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations
11.  Preliminary Amendment
12.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13.  \* Small Entity Statement(s)  Statement filed in prior application,  
(PTO/SB/09-12)  Status still proper and desired
14.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15.  Other: Assignment of Application

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation  Divisional  Continuation-in-part (CIP)

of prior application No:       

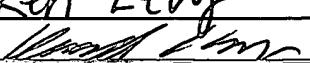
Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			<input checked="" type="checkbox"/> Correspondence address below	
Name	Kenneth Levy AIPL				
Address	110 NE Cedar Street				
City	Stevenson	State	WA	Zip Code	98648
Country	USA	Telephone	509-427-5374		Fax 509-427-7101

Name (Print/Type)	Ken Levy	Registration No. (Attorney/Agent)	
Signature			
	Date 09/23/1999		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

PRO  
09/23/99  
09/404292

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**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR**

Docket Number (Optional)

*Levy IR*

Applicant, Patentee, or Identifier:

*Kenneth L. Levy*

Application or Patent No.:

Filed or Issued:

Title: *Method And Apparatus For Embedding Auxiliary Information Within Original Data.*

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

the specification filed herewith with title as listed above.  
 the application identified above.  
 the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

No such person, concern, or organization exists.  
 Each such person, concern, or organization is listed below.

*Acoustic Information Processing Lab, LLC  
110 NE Cedar Street  
Stevenson, WA 98648*

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

*Kenneth L. Levy*

NAME OF INVENTOR



Signature of inventor

*9/22/99*

Date

NAME OF INVENTOR

Date

NAME OF INVENTOR

Date

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERNDocket Number (Optional)  
Levy IRApplicant, Patentee, or Identifier: Kenneth L. Levy

Application or Patent No.: \_\_\_\_\_

Filed or Issued:

Title: Method And Apparatus For Embedding Auxiliary Information Within Original Data.

I hereby state that I am

the owner of the small business concern identified below.

an official of the small business concern empowered to act on behalf of the concern identified below.

NAME OF SMALL BUSINESS CONCERN Acoustic Information Processing Lab, LLCADDRESS OF SMALL BUSINESS CONCERN 110 NE Cedar Street, Stevenson,  
WA, 98648

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

the specification filed herewith with title as listed above.

the application identified above.

the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

no such person, concern, or organization exists.

each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Kenneth L. LevyTITLE OF PERSON IF OTHER THAN OWNER PresidentADDRESS OF PERSON SIGNING A IPL, 110 NE Cedar St, Stevenson, WA 98648SIGNATURE Kenneth L. LevyDATE 9/22/99

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# FEE TRANSMITTAL

## for FY 1999

Patent fees are subject to annual revision.  
Small Entity payments **must** be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB-09-12. See 37 C.F.R. §§ 1.27 and 1.28.

**TOTAL AMOUNT OF PAYMENT** (\$ **52**)

Complete if Known

Application Number	0
Filing Date	Sept 23, 1999
First Named Inventor	Kenneth Levy
Examiner Name	
Group / Art Unit	2624
Attorney Docket No.	LEVY 1R

<b>METHOD OF PAYMENT</b> (check one)	
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:	
Deposit Account Number	
Deposit Account Name	
<input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17	
2. <input checked="" type="checkbox"/> Payment Enclosed:	
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other	

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

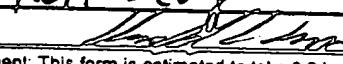
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee	Fee	Fee	Fee Description	Fee Paid
105	130	205	65		Surcharge - late filing fee or oath	
127	50	227	25		Surcharge - late provisional filing fee or cover sheet	
139	130	139	130		Non-English specification	
147	2,520	147	2,520		For filing a request for reexamination	
112	920*	112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action	
115	110	215	55		Extension for reply within first month	
116	380	216	180		Extension for reply within second month	
117	870	217	435		Extension for reply within third month	
118	1,360	218	880		Extension for reply within fourth month	
128	1,850	228	925		Extension for reply within fifth month	
119	300	219	150		Notice of Appeal	
120	300	220	150		Filing a brief in support of an appeal	
121	260	221	130		Request for oral hearing	
138	1,510	138	1,510		Petition to institute a public use proceeding	
140	110	240	55		Petition to revive - unavoidable	
141	1,210	241	605		Petition to revive - unintentional	
142	1,210	242	605		Utility issue fee (or reissue)	
143	430	243	215		Design issue fee	
144	580	244	290		Plant issue fee	
122	130	122	130		Petitions to the Commissioner	
123	50	123	50		Petitions related to provisional applications	
126	240	126	240		Submission of Information Disclosure Stmt	
581	40	581	40		Recording each patent assignment per property (times number of properties)	
146	760	246	380		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	760	249	380		For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ **52**)**SUBMITTED BY**

Name (Print/Type)	Ken Levy	Registration No. (Attorney/Agent)	Telephone	Complete (if applicable)
Signature			509-427-5374	Date 9/23/99

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Docket # Levy/R

## **Certificate of Mailing by "Express Mail" (37 CFR 1.10)**

Applicant: Kenneth L. Levy

Serial Number: To be assigned

Filing Date: To be assigned

Examiner: To be assigned

Title: METHOD AND APPARATUS FOR EMBEDDING AUXILIARY  
INFORMATION WITHIN ORIGINAL DATA

JC510 U.S. PTO  
09/404292  
  
09/23/99

I hereby verify that this provisional patent application and fee is being deposited with the U.S. Postal Service via "Express Mail Post Office to Addressee, under 37 CFR 1.10, on Sept. 23, 1999, and is addressed to the Assistant Commissioner for Patent, Washington, D.C. 20231.

Amy M. Weissfeld

(Typed or Printed Name of Person Mailing Correspondence)

Amy M. Weissfeld

(Signature of Person Mailing Correspondence)

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